

In re Application of: Darst et al.

Application No: 09/782,714

Filed: February 13, 2001

For: A Crystal of Bacterial Core

RNA Polymerase

Examiner: Not yet assigned

Group Art Unit: 1631

Attorney Ref. No: IPT-011.02 (former 600-1-258DIV)

TROH CENTER TO SOUND TO SOUND

Assistant Commissioner for Patents Washington, DC 20231

Certificate of First Class Mailing (37 CFR 1.8(a))

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date set forth below.

February 12, 2002

Date of Signature and Mail Deposit

By: Leud Williams

REQUEST FOR CHANGE OF ATTORNEY ADDRESS AND DOCKET NUMBER

Sir:

1) Effective immediately, please change the correspondence address in this application to:

Customer No: 25181

Patent Group

Foley, Hoag & Eliot LLP

One Post Office Square

Boston, MA 02109-2170

Tel. (617) 832-1000

Fax. (617) 832-7000

2) Please also change the Docket Number to: IPT-011.02

Should there be any questions concerning this request, the Examiner is invited to contact the undersigned at (617) 832-1000.

Respectfully Submitted,

Date: February 12, 2001

Customer No: 25181
Patent Group

Foley, Hoag & Eliot LLP One Post Office Square Boston, MA 02109-2170 Isabelle M. Clauss

Reg. No. 47,326

Tel. (617) 832-1000 Fax. (617) 832-7000

-2-



February 12, 2002

Assistant Commissioner of Patents Washington, DC 20231

TECH CENTER TON SON

Isabelle M. Clauss, Ph.D., J.D.

Boston Office
617.832.1177
iclauss@foleyhoag.com

Re:

U.S. Patent Application No.: 09/782,714

Entitled: A Crystal of Bacterial Core RNA Polymerase

Filed: February 13, 2001; By: Darst et al.

Group Art Unit: 1631

Atty Ref: IPT-011.02 (former 600-1-258DIV)

Dear Sir:

Enclosed for filing in the above-referenced patent application, please find the following:

- 1. Revocation of Power of Attorney or Authorization of Agent Rockefeller University (1 page);
- 2. Power of Attorney or Authorization of Agent Rockefeller University (1 page);
- 3. Statement Under 37 C.F.R. § 3.73(b), with attachments Rockefeller University (8 pages);
- 4. Revocation of Power of Attorney or Authorization of Agent Rutgers University (1 page);
- 5. Power of Attorney or Authorization of Agent Rutgers University (1 page);
- 6. Statement Under 37 C.F.R. § 3.73(b), with attachments Rutgers University (7 pages);
- 7. Request for Change of Attorney Address and Docket Number (2 pages); and
- 8. Return Receipt Postcard.

The Commissioner is hereby authorized to charge any under-payments or credit any over-payments to our Deposit Account No. 06-1448.

20/491594.1

*USSN: 09/782,714 February 12, 2002

Page 2

Certificate of First Class Mailing

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on the date set forth below:

February 12, 2002

Date

Respectfully submitted,

FOLEY, HOAG & ELIOT LLP

Isabelle M. Clauss, Ph.D.

Reg. No. 47,326

Attorney for Applicants

Customer ID No. 25181

PTO/SB/82 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REVOCATION OF POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/782,714
Filing Date	February 13, 2001
First Named Inventor	Darst et al.
Group Art Unit	1631
Examiner Name	
Attorney Docket Number	IPT-011.02 (formerly 600-1-258 DIV)

identified application ☑ A Power of A OR ☐ Please change	revious powers of attorney or a strong or a strong or Authorization of Age ge the correspondence address ner Number 25181	nt is subi	mitted herewit	h. ed appli Place Cu	ication to: ustomer Bar Code	MAR	CENTO ROSON
OR							
☐ Firm <i>or</i> Individual Name							
Address							
Address	·				• ·		
City		Τ .					
Country		State		ZIP			
Telephone		Fax					
I am the: ☐ Applicant/Inventor. ☐ Assignee of record of the entire interest. See 37 CFR 3.71. ☐ Assignee of record of an undivided partial interest. See 37 CFR 3.71. Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)							
	SIGNATURE of Applicant	or Assig	nee of Recor	d ———			
Name For, The Signature	Name For, The Rockefeller University: KATHLEEN A. DENIS, Ph.D DIRECTOR OF TECHNOLOGY TRANSFER						
Submit multiple forms if	he inventors or assignees of record of nore than one signature is required, se		nterest or their re	presenta	tive(s) are re	quired.	
★Total of 2 forms are	submitted.						

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB

control number.

FEB 2 7 2002

POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/782,714
Filing Date	February 13, 2001
First Named Inventor	Darst et al.
Group Art Unit	1631
Examiner Name	
Attorney Docket Number	IPT-011.02 (formerly 600-1-258 DIV)

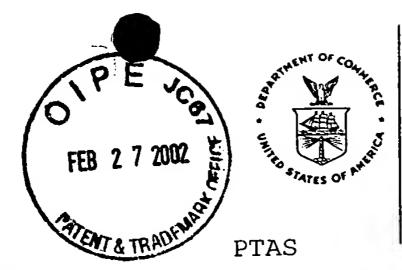
I hereby a	ippoint:	Ü						Bloop C	· otomor	$\overline{}$
_	oners at Cu	ustomer Nu	ımber	25181				Number	ustomer Bar Code	1.4
<i>OR</i> □ Practiti	oner(s) nar	ned below	•				·	Label he	ere	
			Name				Registrati	on Numbe	r	The Way
									- · · · · · · · · · · · · · · · · · · ·	CN/2 32
	<u>.</u>									15/9/100
								-		.000/20
:		<u>-</u>								
as my/our a Trademark				cute the app	olication id	entifie	d above, and to	transact a	ll business in	the Patent and
Please cha	nge the cor	responder	nce addres	ss for the ah	nove-ident	ified a	pplication to:			
The abo		•			JOVO IGOIN		pphoanon to.			
OR	· · · · · · · · · · · · · · · · · · ·									
Firm <i>or</i> Individu	ıal Name									
Address	<u></u>									
Address					·······					
City					S	tate		ZIP		
Country								·		
Telephone						Fax				
I am the:										
☐ Appli	cant.									
☐ Assig	nee of reco	ord of the e	ntire inter	est. See 37	7 CFR 3.7	1.				
				artial interes						
Certifi	cate under	37 CFR 3.		nclosed. (Fo					· 	
			SIGN	ATURE of	Applican	t or A	ssignee of Rec	ord		
Name	For The	Rockefelle	er Universi	ity:			К	ATHLEE	N A. DENIS	, Ph.D
Signature	fath	Jen .	<u>A.</u> ,	Bus						YTRANSFER
Date	15	leb	200			- £ 4L -	antica internat			(a) are required
NOTE: Sign Submit mult								or thei r r e	presentativė	(s) are required.
	f 2 forms a									

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/96 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Passwork Reduction Action 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UN	DER 37 CFR 3.73(b)
Applicant/Patent Owner: The Rockefeller University	
Application No./Patent No.: 09/782,714	Filed/Issue Date: February 13, 2001
Entitled: Crystal of Bacterial Core RNA Polymerase	
The Rockefeller University, a univer	ersity
	Assignee, e.g., corporation, partnership, university, government agency, etc.)
states that it is:	
1. the assignee of the entire right, title, and interest	est; or
2. an assignee of an undivided part interest	CH Ch
in the patent application/patent identified above by virtue of	est; or Feither:
A. An assignment from the inventor(s) of the patent apprecorded in the Patent and Trademark Office at Reel attached. (Assignment filed in	olication/patent identified above. The assignment was
OR	
B. A chain of title from the inventor(s), of the patent appression shown below:	olication/patent identified above, to the current assignee as
1. From: To The document was recorded in the United State Reel, Frame, or for which a copy	
2. From: To The document was recorded in the United State Reel, Frame, or for which a copy	
3. From: To	: _
The document was recorded in the United State Reel, Frame, or for which a copy	·
Additional documents in the chain of title are lis	ted on a supplemental sheet.
Copies of assignments or other documents in the chair [NOTE: A separate copy (i.e., the original assignment d must be submitted to Assignment Division in accordance recorded in the records of the USPTO. See MPEP 302.	ocument or a true copy of the original document) e with 37 CFR Part 3, if the assignment is to be
The undersigned (whose title is supplied below) is empowed 5 Feb 2002	ered to sign this statement on behalf of the assignee.
Date	KATHLEEN A. DENIS, Ph.D DIRECTOR OF TECHNOLOGY TRANSFER Typed or printed name
	For The Rockefeller University Title
	TIGO

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



MARCH 11, 2000

KLAUBER & JACKSON
DAVID A. JACKSON
411 HACKENSACK AVENUE, 4TH FLOOR
HACKENSACK, NJ 07601

UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231



UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/13/1999

REEL/FRAME: 010438/0899

NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

DARST, SETH A.

DOC DATE: 11/29/1999

ASSIGNOR:

ZHANG, GONGYI

DOC DATE: 12/01/1999

ASSIGNOR:

CAMPBELL, ELIZABETH

DOC DATE: 11/29/1999

ASSIGNEE:

ROCKEFELLER UNIVERSITY, THE 1230 YORK AVENUE NEW YORK, NEW YORK 10021-6399

SERIAL NUMBER: 09396651

PATENT NUMBER:

FILING DATE: 09/15/1999

ISSUE DATE:

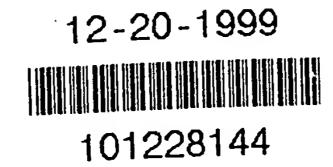
RECEIVEL

MAR 2.0 2000

010438/0899 PAGE 2

MAYA BENNETT, EXAMINER ASSIGNMENT DIVISION OFFICE OF PUBLIC RECORDS

FORM PTO-1595 (Rev. 6/93) WIND 12/13/49 R



U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office

EET

Attorney Docket No. 600-1-258

To th	e Assistant Commissioner	for Patents. Please re	record the attached original documents or copy thereof.					
1. Name of convey	ying party(ies):		2. Name and address of receiving party(2):					
Seth A. Darst;	Gongyi Zhang; and Eliz	abeth Campbell	Name: The Rockefeller University W					
	onveying party(jes) attached?	[] Yes [X] No	Address: 1230 York Avenue Service New York, NY 10021-6399					
3. Nature of conve	•	•						
[X] Assignment [X] Security Ag	reement [] Cha	nge of Name	Additional name(s) & address(es) attached? [] Yes [X] No					
Execution Date: 1 and November 29,	November 29, 1999; Dec 1999	cember 1, 1999;						
4. Application number	per(s) or patent number(s):							
If this document	is being filed together with	a new application, th	he execution date of the application is:					
A. Patent Applica	ation No.(s)		B. Patent No.(s)					
09/396,651 -								
			ched? [] Yes [X] No					
5. Name and address document should	ss of party to whom corresponding be mailed:	pondence concerning	6. Total number of applications and patents involved: 1					
Name: <u>David</u>	A. Jackson		7. Total fee (37 CFR 3.41): \$40.00					
Address: KLAU	BER & JACKSON		[X] Enclosed					
411 Hackensack	Avenue, 4th Floor		[] Authorized to be charged to deposit account, if necessary for overages or underpayments only					
Hackensack, Nev			8. Deposit account number:					
/1999 JSHABAZZ 0000	0091 09396651 40.00 OF		11-1153					
¢:581	40.00 0	DO NOT USE	(Attach duplicate copy of this page if paying by deposit account) E THIS SPACE					
Michael D. Davis	ature. nowledge and belief, the fores Reg. No. 39,161 rson Signing	going information is true Mickel	e and correct and any attached copy is a true copy of the original document. 12/099 Signature Date					
		•	Total number of pages including cover sheet, attachments, and document					

ASSIGNMENT

WHEREAS, WE,

Seth A. Darst, a citizen of United States, residing at 500 East 63rd Street, Apt. 16J
New York, NY 10021;

Gongyi Zhang, a citizen of People's Republic of China, residing at c/o National Jewish Medical & Research Center 1400 Jackson Street, K520 Denver CO 80206; and

Elizabeth Campbell, a citizen of the United States, residing at 500 East 63rd Street, Apt. 16J
New York, NY 10021;

have invented certain new and useful improvements in

A CRYSTAL OF BACTERIAL CORE RNA POLYMERASE AND METHODS OF USE THEREOF

for which we have filed an Application for Letters Patent in the United States on September 15, 1999, and was accorded U.S. Serial No. 09/396,651; and

WHEREAS,

THE ROCKEFELLER UNIVERSITY,

an education corporation organized and existing under the laws of the State of New York, with office at 1230 York Avenue, New York, NY 10021-6399,

ASSIGNEE, is desirous of obtaining the entire right, title and interest in, to and under the said improvements and the said application;

NOW, THEREFORE, for other good and valuable consideration, the receipt of which is hereby acknowledged, we the said

SETH A. DARST; GONGYI ZHANG; AND ELIZABETH CAMPBELL

have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, to the said

THE ROCKEFELLER UNIVERSITY,

its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said improvements, and the said application and all divisions, renewals, and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which

Date	NOU.	29	, 19
	• • •		,

5000.

L.S

ELIZABETH CAMPBELL

State of NA

:ss.

County of $\sqrt{\gamma}$

TERESA L. SOLOMON
Notary Public, State of New York
No. 31-4989836
Qualified in New York County
Commission Expires Dec. 16,

Before me this day of 1999, personally appeared Elizabeth Campbell, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

NOTARY PUBLIC

(Affix Seal Here)

may hereafter be filed for said improvements in any country or countries foreign to the United States, including the right to claim priority under the terms of any appropriate International Convention based upon said application for Letters Patent of the United States, and all Letters Patent which may be granted from said improvements in any country or countries foreign to the United States and extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States, whose duty is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said

THE ROCKEFELLER UNIVERSITY,

it successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the interest herein assigned in the manner hereinabove set forth, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said

THE ROCKEFELLER UNIVERSITY,

its successors, legal representatives and assigns, any fact known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said

THE ROCKEFELLER UNIVERSITY,

its successors, legal representatives and assigns, to obtain and enforce proper Patent Protection for said improvements in the United States.

IN TESTIMONY WHEREOF, we hereunto set our hand and seal the day and year set opposite our signatures.

Date 11/29,	1999	SETH A. DARS	Jan 3	L.S.
State of $N\gamma$ County of $N\gamma$: : ss. :	Notary Public, S No. 31-4	SOLOMON tate of New York 4989836 ew York County Dec. 16, 200	
Before me this personally known to be the instrument, and acknowle for the purposes therein se	ne person who is dedged to me that h	lescribed in and wh	ared Seth A. Darst, to me to executed the above same of his/her own free v	vill
		Jeren NOTARY PUBL	John	<u> </u>
(Affix Seal Here)	-			
Date <u>Rosembor 1</u> ,	1999	GONGYI ZHAN	iG .	L.S.
State of Colorsdo	?: ss.			
Before me this personally known to be the	•	_	ared Gongyi Zhang, to me to executed the above	

instrument, and acknowledged to me that he/she executed the same of his/her own free will

for the purposes therein set forth.

PTO/SB/82 (10-00)
Approved for use through 10/31/2002. OMB 0651-0035

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE for the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEB 2 7 2007

REVOCATION OF POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/782,714
Filing Date	February 13, 2001
First Named Inventor	Darst et al.
Group Art Unit	1631
Examiner Name	W ₂
Attorney Docket Number	IPT-011.02 (formerly 600-1-258 D)

		Attorney Docket No	ımber		1-011.02 (1	Officity Co.	7-1 200 5	100
I hereby revo	ke all previous powers lication:	s of attorney or au	thorizati	ons of a	igent give	en in the a	above-	O.
<i>OR</i> ☐ Pleas	ver of Attorney or Auther corresponds the corresponds Customer Number	ondence address t			entified a Plac Num	pplication e Customen ber Bar Co el here	r	
Firm or								
Individual	Name							
Address								
Address								
City								
Country			State		ZIF	<u> </u>		
Telephone			Fax					
☐ Assig	cant/Inventor. gnee of record of the enginee of record of an unficate under 37 CFR 3	ndivided partial int	erest. S	See 37 (CFR 3.71 3/96)			
		RE of Applicant o						
Name	For Rutgers, The Sta	ate University of N	ew Jers	ey: <u>V</u>	<u>Jillia</u>	mt	<u> </u>	dam
Signature	Will	I fol						
Date	Febru	ary 5,	2007	2.				
Submit multipl	ures of all the inventors or a e forms if more than one sign forms are submitted.	assignees of record of gnature is required, se	the entire e below*.	interest of	r their repre	esentative(s) are requ	urea.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

AUTHORIZATION OF AGENT

PTO/SB/81 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB

POWER OF ATTORNEY OR

Application Number	09/782,714
Filing Date	February 13, 2001
First Named Inventor	Darst et al.
Group Art Unit	1631
Examiner Name	
Attorney Docket Number	IPT-011.02 (formerly 600-1-258 DIV)

								\Box
I hereby app	Γ				Place Cu			
☑ Practition OR	ers at Customer Number	25181			Number E Label her			1
	er(s) named below:							
	Name			Registration	on Number	إ	主气(
-		 	_ -				Comp.	1
L							2 0	1
							5	
							6	2
-							THOENTER 1600/2908	
L								
as my/our att Trademark O	orney(s) or agent(s) to prose office connected therewith.	ecute the application	identifie	d above, and to	transact all	business in	the Patenters	
Please chang	ge the correspondence addr	ess for the above-ide	entified a	pplication to:				
☑ The above	e-mentioned Customer Num	ber.						
								
Firm <i>or</i> Individua	I Name							
Address					<u>-</u>		<u> </u>	
Address			ı 		1	<u> </u>		
City			State		ZIP			
Country								
Telephone			Fax					
I am the:								
Applica	ant.							
	ee of record of the entire int	erest. See 37 CFR	3.71.					
⊠ Assign	ee of record of an undivided	partial interest. Se	e 37 CFF	R 3.71.				
	ate under 37 CFR 3.73(b) is							
:		SNATURE of Appli			cord			
Name	For Rutgers, The State Ur	niversity of New Jers	ey:	Willia	am T	: Adar	ч 5	
Signature	1. 111	1	fo	le				
Date	Febr	uary 5,	20	02			/ >	
NOTE: Signa	atures of all the inventors of	r assignees of reco	ord of the	e entire interest	or their re	presentative	e(s) are required	•
Submit multi	ple forms if more than one	signature is require	ea, see t	BEIUW .				
I IXI *Total of	2 forms are submitted.							

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/96 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Under the Paperwork Red

FEB 2 7 2002

STATEMENT UNDE	R 37 CFR 3.73(b)	
Applicant/Patent Owner: Rutgers, The State University of New Jersey		
Application No./Patent No.: 09/782,714 File Entitled: Crystal of Bacterial Core RNA Polymerase	ed/Issue Date: February 13, 2001	
Rutgers, the State University of New Jersey a university		
1/U(UC)0, (110 01010 0111101010101010101010101010	nee, e.g., corporation, partnership, university, government agency, etc.)	
states that it is:		
1. The assignee of the entire right, title, and interest;	or	
2. an assignee of an undivided part interest		
in the patent application/patent identified above by virtue of either:		
57 A serious at from the inventor(s) of the natent annica		
OR		
B. A chain of title from the inventor(s), of the patent application shown below:	tion/patent identified above, to the current assignee as	
1. From: To: The document was recorded in the United States P Reel, Frame, or for which a copy then	atent and Trademark Office at	
2. From: To: The document was recorded in the United States F Reel, Frame, or for which a copy the	Patent and Trademark Office at	
3. From: To: The document was recorded in the United States F Reel, Frame, or for which a copy the	Patent and Trademark Office at	
☐ Additional documents in the chain of title are listed	on a supplemental sheet.	
Copies of assignments or other documents in the chain of title are attached. [NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]		
The undersigned (whose title is supplied below) is empowered	to sign this statement on behalf of the assignee.	
February 5, 2002 Date	Signature William T. Adams Typed or printed name	
	For Rutgers, The State University of New Jersey	
	Title	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



MARCH '13, 2001

PTAS

KLAUBER & JACKSON LENT & DAVID A. JACKSON 411 HACKENSACK AVENUE, 4TH FLOOR HACKENSACK, NEW JERSEY 07601

UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER OF PATENTS AND TRADEMARKS Washington, D.C. 20231



UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA IF YOU SHOULD PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/13/1999

REEL/FRAME: 010439/0184

NUMBER OF PAGES: 4

ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS). BRIEF:

ASSIGNOR:

MINAKIN, LEONID

DOC DATE: 12/01/1999

ASSIGNOR:

SEVERINOV, KONSTANTIN

DOC DATE: 12/01/1999

ASSIGNEE:

RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY

58 BEVIER ROAD

PISCATAWAY, NEW JERSEY 08854-8010

SERIAL NUMBER: 09396651

PATENT NUMBER:

1

FILING DATE: 09/15/1999

ISSUE DATE:

1. 16 200

010439/0184 PAGE 2

MAURICE CARTER, EXAMINER ASSIGNMENT DIVISION OFFICE OF PUBLIC RECORDS

FORM PTO-1595 (Rev. 6/93)

Www. **RECC** 1679 DEC 13 AM 10: 1

12-20-1999



101228047

U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office

Attorney Docket No. 600-1-258

OPROJE History Commissioner for Patents. Please re	ecord the attached original documents or copy thereof.
1. Name of conveying party(ies):	2. Name and address of receiving party(ies):
Leonid Minakin and Konstantin Severinov	Name: Rutgers, The State University of New Jersey
Additional name(s) of conveying party(ies) attached? [] Yes [X] No 3. Nature of conveyance: [X] Assignment [] Merger [] Security Agreement [] Change of Name Other: Execution Date: December 1, 1999 (respectively)	Address: 58 Bevier Road Piscataway, NJ 08854-8010 Additional name(s) & address(es) attached? [] Yes [X] No
 4. Application number(s) or patent number(s): If this document is being filed together with a new application, the A. Patent Application No.(s) 09/396,651 	B. Patent No.(s)
- Additional numbers attac	
5. Name and address of party to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved: 1
Name: <u>David A. Jackson</u> Address: KLAUBER & JACKSON 411 Hackensack Avenue, 4th Floor Hackensack, New Jersey 07601	7. Total fee (37 CFR 3.41): \$40.00 [X] Enclosed [] Authorized to be charged to deposit account, if necessary for overages or underpayments only
2)/1999 JSHABAZZ 00000090 09396651	8. Deposit account number: 11-1153
	(Attach duplicate copy of this page if paying by deposit account)
	SE THIS SPACE
9. Statement and signature. To the best of my knowledge and belief, the foregoing information is true Michael D. Davis, Reg. No. 39,161 Name of Person Signing	Total number of pages including cover sheet, attachments, and document:

ASSIGNMENT

WHEREAS, WE,

Leonid Minakin, a citizen of Russia, residing at 190 Frelinghuysen Road Piscataway, NJ 08854; and

Konstantin Severinov, a citizen of Russia, residing at 114 Bayard Street New Brunswick, NJ 08093

have invented certain new and useful improvements in

A CRYSTAL OF BACTERIAL CORE RNA POLYMERASE AND METHODS OF USE THEREOF

for which we have filed an Application for Letters Patent in the United States on September 15, 1999, and was accorded U.S. Serial No. 09/396,651; and

WHEREAS, RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY, an education corporation organized and existing under the laws of the State of New York, with office at 58 Bevier Road, Piscataway, NJ 08854-8010,

ASSIGNEE, is desirous of obtaining the entire right, title and interest in, to and under the said improvements and the said application;

NOW, THEREFORE, for other good and valuable consideration, the receipt of which is hereby acknowledged, we the said

LEONID MINAKIN AND KONSTANTIN SEVERINOV

have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, to the said

RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY,

its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said improvements, and the said application and all divisions, renewals, and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, including the right to claim priority under the terms of any appropriate International Convention based upon said application for Letters Patent of the United States, and all Letters Patent which may be granted from said improvements in any country or countries foreign to the United States and extensions, renewals and reissues thereof; and we hereby authorize and

request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States, whose duty is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said

RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY,

it successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the interest herein assigned in the manner hereinabove set forth, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY,

its successors, legal representatives and assigns, any fact known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisions, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said

RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY,

its successors, legal representatives and assigns, to obtain and enforce proper Patent Protection for said improvements in the United States.

IN TESTIMONY WHEREOF, we hereunto set our hand and seal the day and year set opposite our signatures.

Date 120, 1 , 1999	LEONID-MINAKIN
State of Ment franch.: ss. County of Maddlecey:	
personally known to be the person who is	999, personally appeared Leonid Minakin, to me described in and who executed the above he/she executed the same of his/her own free will
	NOTARY PUBLIC LOREL M. NICHOL NOTARY PUBLIC OF NEW JERSEY My Commission Expires Nov. 10, 2003
(Affix Seal Here)	
Date <u>Wec. 1</u> , 1999	LSELEKT 30 L.S KONSTANTIN SEVERINOV
State of New Jelsely County of Middle Olf:	
· .	

Before me this / day of Mec. 1999, personally appeared Konstantin Severinov, to me personally known to be the person who is described in and who executed the above instrument, and acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

NOTARY PUBLIC

LOREL M. NICHOL
NOTARY PUBLIC OF NEW JERSEY
My Commission Expires Nov. 10, 2003

(Affix Seal Here)